

**NOTICE**  
**THIS APPLICATION WAS REVISED IN DECEMBER 2019**  
**– PLEASE READ CAREFULLY -**

**Change of Ownership License Application**  
**To Operate an Assisted Living Facility**

**Regulations affecting the application for licensure of Assisted Living Facilities can be found by clicking the Rules tab or link on the applications page.**

The application should be submitted to this office at least 30 days prior to the change of ownership. Contact the department for ways to enhance the application to shorten the review time. In addition to the information requested within the application, the following must also be submitted:

1. A completed license application and application fee of \$240 plus \$18 for each bed. Application fees will not be refunded.
2. Organizational documents such as: Articles of Incorporation, LLC Agreement, Partnership Agreement, or Statement of Sole Proprietorship under which the facility will operate.
3. A copy of the Certificate of Existence (for domestic entities) or the certificate of registration (for foreign entities issued by the Alabama Secretary of State), as proof of its authority to transact business in the state of Alabama.
4. A draft copy of the transaction being considered, such as lease agreement, sales agreement, or management agreement.
5. A facility diagram illustrating licensed beds and room numbers. Floor plans on letter sized paper if preferable.
6. A copy of the Administrator License.
7. A copy of the Medical Director License.
8. A copy of the Medical Director Agreement.
9. When the document consummating the change of ownership (i.e. bill of sale, signed lease agreement, etc.) has been signed, a copy should be sent to this office.

An on-site survey by the survey/regulatory staff may be required before the license will be granted.

**\*NOTE\*** Contact the department for ways to enhance the application package to shorten the review time. The earliest date a license can be granted is the first day all documents and surveys have been approved by the department.

For state licensure purposes, a change of ownership is not effective until a new license certificate has been issued.

**Please note: it is a violation of state law to provide assisted living facility services before you are granted a license from this agency. If you have any questions about your application, please call (334) 206-5175.**

## **ADDITIONAL INFORMATION**

### **CHANGE OF OWNERSHIP - ASSISTED LIVING FACILITY**

Item 1, Applicant. The applicant is the individual, partnership, corporation or other entity which will be the governing authority of the facility and to whom the license is will be granted **(not the facility name or the individual completing the application, unless the applicant is an individual)**. The name entered in this section must be exactly as printed on the legal document establishing the entity. A copy of the legal document must accompany this application. Entities established in a state other than Alabama must register to conduct business in Alabama with the Secretary of State's Office. A copy of the registration must also accompany this application. If the facility is leased, the lessee should be indicated as the applicant. The lessee may be an individual, partnership, corporation, or other entity. **NOTE - The applicant must be the operator of the facility, the entity that hires or fires the administrator, determines patient care issues, makes payment for facility obligations, etc.**

Item 5, Facility Administrator. A copy of the administrator's current license must be attached.

Item 6, Bed Capacity. Total number of beds the facility will offer.

Item 7, Facility Name. The information provided on this line will be entered in the Provider Services Directory and the facility will be referred to by this name exactly as entered on this application. This name should be the same as on advertisements, facility letterhead, signs in front of the facility and certification information. This name-must be unique; that is, it may not be the same as the name of any other licensed facility in Alabama, nor may it be so similar to the name of any other licensed facility that, in the judgment of ADPH staff, there could be any confusion to the public. Governing authorities operating more than one facility may give the facilities they operate similar, but not identical names. The name may be abbreviated if the abbreviation is also used on advertisements, facility letterhead, signs in front of the facility and certification information.

Item 9, Facility Mailing Address. The facility mailing address, street address or post\_office box must be within the same postal service area as the facility's physical location.

Item 19, Attestation of Responsible Person. A company officer, board member, administrator or other responsible person must sign the application and make the attestation.

Application Fee. The application fee for an assisted living facility is \$240 plus \$18 per bed. Fees are not refundable.

Attachments. Each attachment must be referenced as a specific applicable item. For example, attachment to item 14 d should be referenced and labeled as such.

#### **Printing of License Certificates**

License certificates are now available on-line. When a license is granted or renewed the license certificate can be printed on-line at <https://ph.state.al.us/FacilityCertificatePrint>. A facility ID and pin number will be provided and must be used to print license certificates.

**STATE OF ALABAMA  
DEPARTMENT OF PUBLIC HEALTH  
DIVISION OF PROVIDER SERVICES  
P.O. BOX 303017 (MAILING ADDRESS)  
MONTGOMERY, ALABAMA 36130-3017  
THE RSA TOWER, SUITE 710, 201 MONROE STREET, MONTGOMERY, AL 36104  
(PHYSICAL LOCATION)**

**CHANGE OF OWNERSHIP LICENSE APPLICATION  
ASSISTED LIVING FACILITY**

<b>APPLICATION FEE</b>	<b>FOR DEPARTMENTAL USE ONLY</b>
<p><b>APPLICATION FEES ARE NOT REFUNDABLE.</b> The application fee is \$240 plus \$18 per bed.</p> <p><b>MAKE CHECK OR MONEY ORDER PAYABLE TO:</b> <b>Alabama Department of Public Health</b></p>	<p>Classification _____ Bed Capacity _____</p> <p>Application Fee _____ Check # _____</p> <p>Facility ID # _____</p>

- |  |  |
|--|--|
| 1. _____<br>Applicant<br>(see instructions on page 2)                                    | 7. _____<br>Name of the Facility<br>(see instructions on page 2)     |
| 2. _____<br>Applicant Address  | 8. _____<br>Facility Physical Address                                |
| 3. _____<br>City State Zip Code  | 9. _____<br>Facility Mailing Address<br>(see instructions on page 2) |
| 4. _____<br>Applicant Telephone Number   | 10. _____<br>City Zip Code County                                    |
| 5. _____<br>Facility Administrator<br><br>_____<br>Facility Administrator' Email Address | 11. _____<br>Facility Telephone Number                               |
| 6. _____<br>Facility Bed Capacity<br>(see instructions on page 2)                        | 12. _____<br>Facility ID Number                                      |

13. This application is to apply for (check one):

- a. Change of Ownership ☐    b. Change of Ownership and name change ☐

The facility is currently licensed as \_\_\_\_\_.  
(Facility Name)

14. Applicant Information

a. Applicant is a (check one):

Individual	<input type="checkbox"/>	Nonprofit Corporation	<input type="checkbox"/>	City	<input type="checkbox"/>
Partnership	<input type="checkbox"/>	Hospital Authority	<input type="checkbox"/>	County	<input type="checkbox"/>
Corporation	<input type="checkbox"/>	State	<input type="checkbox"/>	Joint City County	<input type="checkbox"/>
Limited Liability Company	<input type="checkbox"/>	Other: _____			<input type="checkbox"/>
		Specify			

b. List all the applicant's board members and officers (attach additional paper if necessary).

\_\_\_\_\_  
\_\_\_\_\_

c. List the name(s) of any person or business entity that has 5% or more ownership interest in the applicant (attach additional paper if necessary). Also, attach a diagram depicting the organizational structure.

\_\_\_\_\_  
\_\_\_\_\_

d. Does this applicant or any of its owners listed in item "c" operate any other health care facility in Alabama or in any other state? YES ☐ NO ☐ If yes, attach a list including the type(s) of facility(s), name(s), address(s), and owner(s).

e. Have any of the facilities listed in item "d" had any adverse licensure action taken against them or been subject to exclusion from the Medicare or Medicaid Reimbursement Programs? YES ☐ NO ☐ If yes, attach an explanation and Plan of Correction (POC).

f. Has the applicant, officers or principals ever been convicted of a crime? YES ☐ NO ☐ If yes, attach an explanation.

g. Have the applicant, officers or principals ever been found guilty of abusing another individual? YES ☐ NO ☐ If yes, attach an explanation.

h. Have the applicant, officers or principals ever had adverse action taken against a professional license, for example, nursing home administrator license, attorney license, nurse license, physician license? YES ☐ NO ☐ If yes, attach an explanation.

- i. Have the applicant, officers or principals ever had a license application denied by this or any other state? YES ☐ NO ☐ If yes, attach an explanation.

15. Has the facility **administrator** listed in item "5" of this application:

- a. ever been convicted of a crime? YES ☐ NO ☐
- b. ever been found guilty of abusing another individual? YES ☐ NO ☐
- c. ever had adverse action taken against a professional license, for example, nursing home administrator license, attorney license, nurse license, physician license? YES ☐ NO ☐
- d. ever been excluded from participation in Medicare or Medicaid Reimbursement Program? YES ☐ NO ☐

If a, b, c, or d are yes, attach an explanation for each affirmative answer.

16. List the name and address of at least one physician who has agreed to respond to patients' emergencies when the patients' personal physician cannot be reached. A copy of the agreement must be attached to this application.

Name

Address

_____	_____
_____	_____
_____	_____

17. Provide the name, phone number, and email address of a knowledgeable person who can supply details about this application (complete all information).

Name (print) \_\_\_\_\_

Phone \_\_\_\_\_ Email \_\_\_\_\_

18. Are there any outstanding citations of deficiency, either Federal or State, that have not been corrected?

YES ☐ NO ☐

If yes, has the plan of correction for these deficiencies been accepted by the Division of Health Care Facilities? YES ☐ NO ☐

**Note: The new licensee will be responsible for correcting all outstanding deficiencies and may be subject to sanctions imposed for past or present deficiencies, including payment of any uncollected civil monetary penalties.**

19. Attestation of Responsible Person:

**I declare, under penalty of perjury, that I have personal knowledge about the statements made in this application and certify that all statements are true and correct. To the best of my knowledge, neither the applicant nor any of the principals, including myself, the owners, and the administrator, have operated or allowed to be operated this facility, or any other facility, without a license. I certify that I am authorized to make this representation on behalf of the applicant.**

Signature: \_\_\_\_\_ Printed Name: \_\_\_\_\_

Title/Position: \_\_\_\_\_ Date: \_\_\_\_\_

NOTARIZED:

Sworn to and subscribed before me this \_\_\_\_\_  
day of \_\_\_\_\_ 20\_\_\_\_.

\_\_\_\_\_  
(Notary Public)

20. Administrator Signature:

**I declare, under penalty of perjury, that I have not operated or allowed to be operated this facility, or any other facility, without a license. I agree to operate this facility according to the Rules of the Alabama State Board of Health.**

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

NOTARIZED:

Sworn to and subscribed before me this \_\_\_\_\_  
day of \_\_\_\_\_ 20\_\_\_\_.

\_\_\_\_\_  
(Notary Public)

21. Current Licensee Signature:

**The current licensee of this facility concurs with this change of ownership and recommends that this change of ownership application be granted. I certify that I am authorized to make this representation on behalf of the current licensee.**

\_\_\_\_\_  
Name of Current Licensed Entity

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed Name

NOTARIZED:

Sworn to and subscribed before me this \_\_\_\_\_

day of \_\_\_\_\_ 20\_\_\_\_.

\_\_\_\_\_  
(Notary Public)



# MANDATORY ACKNOWLEDGMENT NOTICE

Pursuant to *Alabama Code* section 30-3-194, every applicant seeking from a state agency a license, certificate, permit, or authorization to engage in a profession, occupation, or commercial activity, must provide the social security number of the person signing the application, whether as an individual or on behalf of an entity or corporation. Failure to provide this social security number will result in the denial of the application.

Print or Type Name of Person Signing Application: \_\_\_\_\_

Social Security Number of Person Signing Application: \_\_\_\_\_

Print or Type the Facility Name: \_\_\_\_\_

**THIS PAGE NOT FOR PUBLIC RECORD**